

12/08/98



Jc408 U.S. PTO

Please type a plus sign (+) inside this box → ☒PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.	RCA 89,291
First Inventor or Application Identifier	F. Zucker
Title	Magneto-Optical Recording Or Reproducing
Express Mail Label No.	EL197058627US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 13]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
4. Oath or Declaration [Total Pages 1]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

*** NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).****ADDRESS TO:** Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☒ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☐ * Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
14. ☒ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☐ Other: _____

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**17. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name	Joseph S. Tripoli				
	GE & RCA Licensing Management Operation, Inc.				
Address	Two Independence Way, P.O. Box 5312				
	Patent Operations				
City	Princeton	State	NJ	Zip Code	08543
Country	USA	Telephone	(609) 734-9400	Fax	(609) 734-9700

Name (Print/Type)	Eric P. Herrmann	Registration No. (Attorney/Agent)	29,169
Signature	<i>Eric P. Herrmann</i>	Date	12/08/98

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																																																																																																			
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number: 07-0832</p> <p>Deposit Account Name: GE&RCA Licensing Mgt.</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance</p>				<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity (\$)</th> <th>Small Fee Code</th> <th>Entity (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>950</td><td>217</td><td>475</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,510</td><td>218</td><td>755</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>2,060</td><td>228</td><td>1,030</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,320</td><td>241</td><td>660</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,320</td><td>242</td><td>660</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>450</td><td>243</td><td>225</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>670</td><td>244</td><td>335</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40</td></tr> <tr><td>146</td><td>790</td><td>246</td><td>395</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>790</td><td>249</td><td>395</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL (2)</td> <td colspan="2" style="text-align: right;">SUBTOTAL (3)</td> </tr> <tr> <td colspan="4" style="text-align: right;">(\$)</td> <td colspan="2" style="text-align: right;">(\$)</td> </tr> <tr> <td colspan="4" style="text-align: right;">0</td> <td colspan="2" style="text-align: right;">40.00</td> </tr> </tbody> </table>				Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet.		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	400	216	200	Extension for reply within second month		117	950	217	475	Extension for reply within third month		118	1,510	218	755	Extension for reply within fourth month		128	2,060	228	1,030	Extension for reply within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,320	241	660	Petition to revive - unintentional		142	1,320	242	660	Utility issue fee (or reissue)		143	450	243	225	Design issue fee		144	670	244	335	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)	40	146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))		149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify) _____						Other fee (specify) _____						SUBTOTAL (2)				SUBTOTAL (3)		(\$)				(\$)		0				40.00	
Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid																																																																																																																																																																																																		
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																																																			
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.																																																																																																																																																																																																			
139	130	139	130	Non-English specification																																																																																																																																																																																																			
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																																																			
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																			
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																																			
115	110	215	55	Extension for reply within first month																																																																																																																																																																																																			
116	400	216	200	Extension for reply within second month																																																																																																																																																																																																			
117	950	217	475	Extension for reply within third month																																																																																																																																																																																																			
118	1,510	218	755	Extension for reply within fourth month																																																																																																																																																																																																			
128	2,060	228	1,030	Extension for reply within fifth month																																																																																																																																																																																																			
119	310	219	155	Notice of Appeal																																																																																																																																																																																																			
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																																																																																			
121	270	221	135	Request for oral hearing																																																																																																																																																																																																			
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																																			
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																																			
141	1,320	241	660	Petition to revive - unintentional																																																																																																																																																																																																			
142	1,320	242	660	Utility issue fee (or reissue)																																																																																																																																																																																																			
143	450	243	225	Design issue fee																																																																																																																																																																																																			
144	670	244	335	Plant issue fee																																																																																																																																																																																																			
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																																			
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																																			
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																																																			
581	40	581	40	Recording each patent assignment per property (times number of properties)	40																																																																																																																																																																																																		
146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																																			
149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																																																			
Other fee (specify) _____																																																																																																																																																																																																							
Other fee (specify) _____																																																																																																																																																																																																							
SUBTOTAL (2)				SUBTOTAL (3)																																																																																																																																																																																																			
(\$)				(\$)																																																																																																																																																																																																			
0				40.00																																																																																																																																																																																																			
<p>2. <input type="checkbox"/> Payment Enclosed:</p> <p><input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>																																																																																																																																																																																																							
FEE CALCULATION																																																																																																																																																																																																							
1. BASIC FILING FEE																																																																																																																																																																																																							
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity (\$)</th> <th>Small Fee Code</th> <th>Entity (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>790</td><td>201</td><td>395</td><td>Utility filing fee</td><td>760</td></tr> <tr><td>106</td><td>330</td><td>206</td><td>165</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>540</td><td>207</td><td>270</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>790</td><td>208</td><td>395</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr> <tr> <td colspan="5" style="text-align: right;">SUBTOTAL (1)</td> <td style="text-align: right;">(\$)</td> </tr> <tr> <td colspan="5"></td> <td style="text-align: right;">760.00</td> </tr> </tbody> </table>				Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid	101	790	201	395	Utility filing fee	760	106	330	206	165	Design filing fee		107	540	207	270	Plant filing fee		108	790	208	395	Reissue filing fee		114	150	214	75	Provisional filing fee		SUBTOTAL (1)					(\$)						760.00																																																																																																																																																				
Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid																																																																																																																																																																																																		
101	790	201	395	Utility filing fee	760																																																																																																																																																																																																		
106	330	206	165	Design filing fee																																																																																																																																																																																																			
107	540	207	270	Plant filing fee																																																																																																																																																																																																			
108	790	208	395	Reissue filing fee																																																																																																																																																																																																			
114	150	214	75	Provisional filing fee																																																																																																																																																																																																			
SUBTOTAL (1)					(\$)																																																																																																																																																																																																		
					760.00																																																																																																																																																																																																		
2. EXTRA CLAIM FEES																																																																																																																																																																																																							
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Independent</td> <td>10 - 20** =</td> <td>0</td> <td>0</td> </tr> <tr> <td>Multiple Dependent</td> <td>2 - 3** =</td> <td>0</td> <td>0</td> </tr> </tbody> </table>				Total Claims	Extra Claims	Fee from below	Fee Paid	Independent	10 - 20** =	0	0	Multiple Dependent	2 - 3** =	0	0																																																																																																																																																																																								
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																																				
Independent	10 - 20** =	0	0																																																																																																																																																																																																				
Multiple Dependent	2 - 3** =	0	0																																																																																																																																																																																																				
<p>**or number previously paid, if greater; For Reissues, see below</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity (\$)</th> <th>Small Fee Code</th> <th>Entity (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr><td>103</td><td>22</td><td>203</td><td>11</td><td>Claims in excess of 20</td></tr> <tr><td>102</td><td>82</td><td>202</td><td>41</td><td>Independent claims in excess of 3</td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135</td><td>Multiple dependent claim, if not paid</td></tr> <tr><td>109</td><td>82</td><td>209</td><td>41</td><td>** Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>22</td><td>210</td><td>11</td><td>** Reissue claims in excess of 20 and over original patent</td></tr> <tr> <td colspan="5" style="text-align: right;">SUBTOTAL (2)</td> </tr> <tr> <td colspan="5" style="text-align: right;">(\$)</td> </tr> <tr> <td colspan="5" style="text-align: right;">0</td> </tr> </tbody> </table>				Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	103	22	203	11	Claims in excess of 20	102	82	202	41	Independent claims in excess of 3	104	270	204	135	Multiple dependent claim, if not paid	109	82	209	41	** Reissue independent claims over original patent	110	22	210	11	** Reissue claims in excess of 20 and over original patent	SUBTOTAL (2)					(\$)					0																																																																																																																																																											
Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description																																																																																																																																																																																																			
103	22	203	11	Claims in excess of 20																																																																																																																																																																																																			
102	82	202	41	Independent claims in excess of 3																																																																																																																																																																																																			
104	270	204	135	Multiple dependent claim, if not paid																																																																																																																																																																																																			
109	82	209	41	** Reissue independent claims over original patent																																																																																																																																																																																																			
110	22	210	11	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																			
SUBTOTAL (2)																																																																																																																																																																																																							
(\$)																																																																																																																																																																																																							
0																																																																																																																																																																																																							

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.